



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Lavelle Freeman, Lan H. Trinh, Krassimir Koutlev, Jiuping Pan and Peter Bosshart

Serial No.: 09/750,574

Group Art Unit: N/A

Filing Date: December 28, 2001

Examiner: N/A

For: A FUNCTIONAL REQUIREMENT-BASED KNOWLEDGE-ENGINEERED PROCESS FOR SUBSTATION DESIGN

DATE OF DEPOSIT: March 21, 2001
 I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231.

Susan C. Murphy
 TYPED NAME: Susan C. Murphy
 REGISTRATION NO.: 46,221

Assistant Commissioner for Patents
 Washington DC 20231

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §1.56 and in accordance with 37 C.F.R. §§1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 C.F.R. §1.56(b).

In accordance with §1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in §1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the

mailing date of a first office action after the filing of request for continued examination under §1.114, no additional fee is required.

- In accordance with §1.129(a), this Information Disclosure Statement is being filed in connection with the first or second After Final Submission, therefore:
 - Certification in Accordance with §1.97(e) is attached; or
 - The fee of \$180.00 as set forth in §1.17(p) is attached.
- In accordance with §1.97(c), this Information Disclosure Statement is being filed after the period set forth in §1.97(b) above but before the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311, or before an action that otherwise closes prosecution in the application, therefore:
 - Certification in Accordance with §1.97(e) is attached; or
 - The fee of \$180.00 as set forth in §1.17(p) is attached.
- In accordance with §1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with §1.97(e); and the submission fee of \$180.00 as set forth in §1.17(p).
- Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:
 - In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies

are not enclosed herewith.

- In accordance with §1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. §120 have been made in the instant application:
- Copies of references [list as appropriate] listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. , filed .
- If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

This form is submitted in duplicate.

The relevance of those listed references which are not in the English language is as follows:

There are no listed references which are not in the English language.

Date: March 21, 2001

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Form PTO-1449 Modified		Docket No. ABHS-0151 /B000240	Serial No. 09/750,574
List of Patent and Publications Cited by Applicant (Use several sheets if necessary)		Applicant Lavelle Freeman, Lan H. Trinh, Krassimir Koutlev, Jiuping Pan and Peter Bosshart	
U.S. Department of Commerce Patent and Trademark Office		Filing Date December 28, 2000	Group 2123
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)			
	AA	Francisco D. Galiana, <i>et al.</i> "Expert Systems in Transmission Planning", Proceedings of the IEEE, Vol. 80, No. 5, May 1992	
	AB	Hans B. Puttgen "An Expert System For the Design of A Power Plant Electrical Auxiliary System" IEEE Transaction on Power systems, Vol. 3, No.1, Feb.1988	
	AC	M. Huneault, <i>et al.</i> "A Study of Knowledge Engineering Tools in Power Engineering Applications" IEEE Transactions on Power Systems, Vol. 9, No. 4, November 1994	
	AD	D. Atanackovic, <i>et al.</i> "The Application of Multi-Criteria Analysis to Substation Design; IEE Transactions on Power Systems, Vol. 13, No. 3, August 1998	
	AE	D. Atanackovic, <i>et al.</i> " A New Tool for Substation Design"; IEEE Transactions on Power Systems, Vol.13, No. 4, November 1998	



Form PTO-1449 Modified List of Patent and Publications Cited by Applicant (Use several sheets if necessary) U.S. Department of Commerce Patent and Trademark Office		Docket No. ABHS-0151 /B000240	Serial No. 09/750,574		
		Applicant Lavelle Freeman, Lan H. Trinh, Krassimir Koutlev, Jiuping Pan and Peter Bosshart			
		Filing Date December 28, 2000	Group 2123		
U. S. PATENT DOCUMENTS					
Examiner Initial		Document No.	Date	Name	Class
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	AG	5,754,738	5/19/98	Saucedo, et al.	395
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